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Date June 24, 2005 Client-Matter 74622-037

**Fax Transmittal**

Total Pages (Including Cover) 3

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Fax No.: 703-872-9306

Company: United States Patent and Trademark Office - Group Art Unit 3628 Voice No.: (571)272-8792

Message

Re: Inventor : William Fitzpatrick  
Serial No. : 09/696,693  
Filing Date : October 25, 2000  
Title : SYSTEM FOR PROVIDING FINANCIAL SERVICES  
Att'y Docket : 74622-037

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

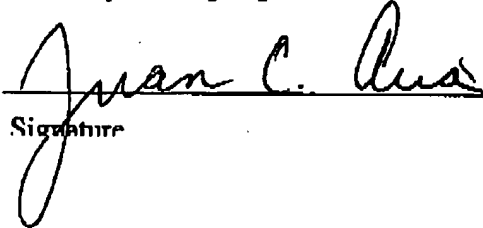
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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I hereby certify that these papers are being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Juan C. Arias

Name of person signing the certification

 June 24, 2005  
Signature Date

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PTO/SB/81 (03-04)

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# **POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM**

Application Number	09/686,893
Filing Date	October 26, 2000
First Named Inventor	William Fitzpatrick
Title	SYSTEM FOR PROVIDING FINANCIAL SERVICES
Art Unit	3628
Examiner Name	Siegfried E. Chencinski
Attorney Docket Number	74622-037

I hereby appoint:

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/98)

## **SIGNATURE of Applicant or Assignee of Record**

Signature		Date	6-22-05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.91 and 1.93. The information is required to obtain or receive a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is as required by 38 U.S.C. 122 and 37 CFR 1.14. The collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/BB/06 (08-04)

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: William Fitzpatrick, et al.Application No./Patent No.: 09/696,693 Filed/Issue Date: October 25, 2000Entitled: **SYSTEM FOR PROVIDING FINANCIAL SERVICES**UBS Financial Services, Inc. a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: William Fitzpatrick, et al. To: Palnewebber Incorporated  
The document was recorded in the United States Patent and Trademark Office at Reel 011296, Frame 0341, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.06)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.



Signature

Gregg I. Goldman

Printed or Typed Name

Director and Senior Counsel, UBS Financial Services, Inc.

Title

6-22-05

Date

203.719.3099

Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to the (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1460, Alexandria, VA 22313-1460. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1460, Alexandria, VA 22313-1460.

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